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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of: Howard Chin et al.

Title: EXTERNAL MICROCODE

Attorney Docket No.: 884.101US1

**PATENT APPLICATION TRANSMITTAL**

**BOX PATENT APPLICATION**

Assistant Commissioner for Patents  
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We are transmitting herewith the following attached items and information (as indicated with an "X"):

- Utility Patent Application under 37 CFR § 1.53(b) comprising:
  - Specification (13 pgs, including claims numbered 1 through 20 and a 1 page Abstract).
  - Formal Drawing(s) (6 sheets).
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## **External Microcode**

### **Field**

5        The present invention is related to processors, and more particularly to microcode  
for processors.

### **Background Information**

10      A computer system can be broken into three basic blocks: a central processing  
unit (CPU), memory, and input/output (I/O) units. These blocks are interconnected by  
means of a bus. An input device such as a keyboard, mouse, disk drive, analog-to-digital  
converter, etc., is used to input instructions and data to the computer system via the I/O  
unit. These instructions and data can be stored in memory. The CPU retrieves the data  
stored in the memory and processes the data as directed by the stored instructions. The  
results can be stored back into memory or outputted via the I/O unit to an output device  
such as a printer, cathode-ray tube (CRT) display, digital-to-analog converter, liquid  
crystal display (LCD), etc.

15      The function of the CPU (also referred to herein as a processor) is to execute  
programs. Programs comprise a group of instructions. Each instruction is broken down  
into one or more operations known as micro-instructions or micro-operations. One way  
that processors execute micro-instructions is by reading operands from one or more  
source registers and storing results in one or more destination registers. A register is a  
temporary storage area within a processor for holding data used by the processor.  
Registers store bits. A bit is a binary digit and represents either a "0" value or a "1"  
20      value. Different registers may be used for different functions. For example, general  
purpose registers are used interchangeably to hold operands for logical and arithmetic  
operations. Special purpose registers may be used for holding status information via  
various flag bits, for example.

25      Certain processor operations are easier to implement using a hybrid of

programmed code and hardware logic than using just hardware logic alone. For example, these operations can be processor internal operations or a complex instruction (or part of the instruction operation) that uses programmed code to simplify logic implementation. The programmed code used to simplify logic implementation is called “microcode.”

Traditionally, the microcode is embedded inside the microprocessor because the microcode is tightly coupled with the hardware logic. Traditional microcodes are pre-programmed binary bits that reside inside a processor.

However, traditional implementations for microcode have several disadvantages. For example, because each bit of microcode takes up precious die area, microcode is often limited in size and is very expensive. As processors become more and more complex, microcode also becomes huge in size, occupying a large share of the processor silicon. In addition, because traditional microcode resides inside a processor, the microcode can only be changed by repeating the entire processor design and manufacturing cycle--much like hardware logic changes.

For these and other reasons, there is a need for the present invention.

### **Summary**

Some embodiments of the invention include a computer system comprising a bus, a processor and a computer readable medium external to the processor. The computer readable medium coupled to the processor by the bus and the computer readable medium to store instructions to implement microcode functions.

Still other and further embodiments, aspects and advantages of the invention will become apparent by reference to the drawings and by reading the following detailed description.

### **Brief Description of the Drawings**

FIG. 1 a block diagram of an example embodiment of a system according to the present invention.

FIG. 2A is a more detailed block diagram of an example embodiment of the processor and firmware shown in FIG 1.

FIG. 2B is a block diagram of an alternate embodiment of the processor shown in FIG. 1 and external microcode stored on a computer readable medium.

FIG. 3 is a more detailed block diagram of an example embodiment of the processor and machine specific registers shown in FIG. 2A.

FIG. 4 is a more detailed block diagram of an example embodiment of the machine specific registers shown in FIG. 3.

FIG. 5 is a flow chart of a method of using firmware as microcode according to an example embodiment of the present invention.

FIG. 6 is a flow chart of an alternate embodiment of a method of using external microcode according to one embodiment of the present invention.

### Detailed Description

In the example embodiments described below, at least some of the microcode for a processor resides on a computer readable medium which is external to the processor. In the following detailed description of embodiments, reference is made to the accompanying drawings which form a part hereof, and in which are shown by way of illustration specific embodiments in which the invention may be practiced. It is to be understood that other embodiments may be utilized and structural changes may be made without departing from the scope of the present invention.

FIG. 1 is a block diagram of a system, such as a computer system 105, of an example embodiment of the present invention. The computer system 105 comprises bus 100, keyboard interface 101, external memory 102, mass storage device 103, processor 104 and firmware 106. Bus 100 may be a single bus or a combination of multiple buses. Bus 100 provides communication links between components in the system. Keyboard interface 101 may be a dedicated device or may reside in another device such as a bus controller or other controller. Keyboard interface 101 allows coupling of a keyboard to the system and transmits signals from a keyboard to the system. External memory 102 may comprise a dynamic random access memory (DRAM) device, a static random access memory (SRAM) device, or other memory devices. External memory 102 stores information from mass storage device 103 and processor 104 for use by processor 104.

Mass storage device 103 may be a hard disk drive, a floppy disk drive, a CD-ROM device, or a flash memory device or the like. Mass storage device 103 provides information to external memory 102. Firmware 106 is nonvolatile memory programmed with data or instructions. Examples of firmware 106 include, but are not limited to, read-only memory (ROM), programmable read-only memory (PROM), and electrically erasable programmable read-only memory (EEPROM), and flash memory.

The processor 104 may be compatible with, but not limited to, processors such as an Intel® architecture processor, manufactured by Intel Corporation of Santa Clara, California, the assignee of the present invention. In alternate embodiments, the processor 104 may be compatible with a PowerPC™ architecture processor, an Alpha™ architecture processor, and the like.

In previous systems, a processor utilized microcode stored on the processor to generate signals for controlling the behavior of various processor hardware. Unlike previous systems, embodiments of the present invention permit some programmed code that was previously stored as microcode on the processor 104 to instead be stored on a computer readable medium that is external to the processor 104. Examples of computer readable mediums external to the processor include, but are not limited to, mass storage devices 103, firmware 106 and memory 102. In one embodiment, the computer readable medium stores microcode instructions for non-performance critical operations. Examples of non-performance critical operations include, but are not limited to, cache flushing, cache invalidation, setting and reading processor features and configurations, machine check handling, floating point calculations, processor diagnosis, Intel 32 bit architecture handling (for backward compatibility), authentication, platform management interrupt, diagnostic and debug functionality and so on.

FIG. 2A is a more detailed block diagram of an example embodiment of the processor and firmware shown in FIG 1. In one embodiment of the invention, firmware 206 stores programmed code 210 for controlling the operation of the processor 204. The programmed code 210 stored in the firmware 206 is referred to herein as the “firmware code.” In an example embodiment, the firmware code 210 implements microcode operations using registers which are specific to a particular machine or to a particular

model of a machine. The registers are referred to herein as "Machine Specific Registers." The machine specific registers function as an interface between the firmware 206 and the processor 204.

In the example embodiment shown in FIG. 2A, processor 204 includes a plurality of machine specific registers (MSRs) 208. In one embodiment, one or more of the MSRs 208 are associated with one or more functional units of the processor 204. For example, an MSR bank may be associated with an external bus unit, while another MSR bank might be associated with the processor's cache. Each one of the MSRs 208 store one or more bits. The size of an MSR may vary between the functional units. The bits stored by the MSRs 208 are updated when the firmware code 210 stored in the firmware 206 is executed by the processor 204. In one embodiment, the value of each one of the bits stored in the MSR 208 affects the behavior of the functional unit of the processor 204 that the MSR 208 is associated with. In an alternate embodiment, the value of one or more bits stored in the MSR 208 affects the behavior of a different functional unit of the processor than the functional unit that the MSR 208 is associated with. The MSRs enable the firmware to be used as external microcode for use by the processor as further described by reference to FIGS. 3, 4 and 5 below.

However, embodiments of the invention are not limited to storing microcode instructions in firmware. Alternate embodiments are also contemplated which have instructions for performing microcode operations stored on any computer readable medium external to the processor. Furthermore, embodiments of the invention are not limited to using registers as an interface for the external microcode stored on the computer readable medium. In an alternate embodiment, the external microcode directly manipulates hardware logic on the processor without using the MSRs.

FIG. 2B is a block diagram of an alternate embodiment of the processor shown in FIG. 1 and external microcode stored on a computer readable medium. In one embodiment of the invention, a computer readable medium 220, which is external to the processor, stores programmed code 222 for controlling the operation of the processor 224. Examples of computer readable mediums external to the processor include, but are not limited to, mass storage devices, firmware and memory. The programmed code 222

stored in the computer readable medium is referred to herein as "external microcode." In an example embodiment, the external microcode 222 implements microcode operations by controlling hardware logic on the processor 224 without the use of the registers shown in FIG. 2A. In an alternate embodiment, the external microcode 222 implements microcode operations using the registers shown in FIG. 2A as an interface to the processor hardware logic. In still another embodiment, the external microcode 222 implements microcode operations by a combination of using the registers shown in FIG. 2A and by directly triggering the processor hardware logic.

FIG. 3 is a more detailed block diagram of the processor and machine specific registers shown in the example embodiment in FIG. 2A. The processor 304 shown in FIG. 3 comprises a control register access bus (CRAB) bus 306, a data control unit 310, and a plurality of functional units 308a, 308b, 308c, 308d, 308e, 308f, 308g, 308h, 308i, 308j, 308k.

The CRAB 306 provides communication links between the functional units 308a-308k of the processor 304 and the data control unit 310. The data control unit 310 executes the various instructions provided to control the operations of the system. In one embodiment, the data control unit 306 fetches an instruction from memory or from firmware or from any other computer readable medium external to the processor. The data control unit 306 then decodes the instruction into one or more operations known as microinstructions. In one embodiment, logical source and destination registers for each microinstruction are general purpose registers. According to one embodiment of the present invention, the logical source or destination register for some of the microinstructions fetched from the firmware is one of the machine specific registers such as the MSR 314 for functional unit E 308e.

In one embodiment, the plurality of functional units 308a, 308b, 308c, 308d, 308e, 308f, 308g, 308h, 308i, 308j, 308k represent the processor's internal hardware logic. In the example embodiment shown in FIG. 3, functional unit E 308e represents an L1 instruction cache; functional unit F 308f represents an L1 data cache; functional unit H 308h represents an L2 cache; function unit I 308i represents a backside bus controller; and functional unit J 308j represents a front side bus controller. In one embodiment, one

or more of the functional units 308a-308k of the processor 304 have an MSR 314 register associated with the functional unit. FIG. 3 includes an exploded view of functional unit E 308e for the L1 instruction cache. Associated with functional unit E 308e is decode logic 312 and one or more MSR registers 314. The decode logic 312 determines the MSR address of an instruction on the CRAB 306. Functional unit E 308e also contains one or more MSRs which are described in more detail by reference to FIG. 4.

FIG. 4 is a more detailed block diagram of one embodiment of the MSR shown in FIG. 3. As shown in FIG. 4, one of the MSRs 402 for functional unit E controls certain functions of the L1 instruction cache 406. Each one of the MSRs, such as the MSR 402 for functional unit E, are coupled to internal logic for the processor and each bit or group of bits 410 in an MSR register affects the processor's behaviors. For example, one bit 412 of the MSR 402 controls the invalidation of a cache line in the L1 instruction cache 406. When the MSR bit four is set to "1," the control logic 408 to invalidate the cache line in the L1 instruction cache is triggered.

FIG. 5 is a flow chart of an embodiment of a method of using firmware as microcode according to one embodiment of the present invention. In one embodiment, programmed code is stored in firmware (block 502). For example, the programmed code is stored in firmware in assembly language. The programmed code is executed by a processor (block 504) and the one or more registers associated with a logic unit on the processor are updated or read in response to the execution of the programmed code (block 506). In one embodiment, one or more of the instructions in the programmed code cause the processor to move a value from one of the processor's general purpose registers to a machine specific register (MSR). The instruction updates one or more of the bits stored in the MSR. In the example embodiment shown in FIG. 4, the CRAB bus transfers data to the MSR register to be updated. In an alternate embodiment, an instruction in the programmed code reads an MSR by moving a value in the MSR to a general purpose register. In another embodiment, the MSR is used to communicate information to external microcode such as information about a current state of the processor or information about past events. One or more functions of the logic unit on the processor are controlled based on a value stored in the register (block 508). One embodiment of a

method of using firmware as microcode shown in FIG. 5 allows MSR bit values to be changed by using specific assembly language instructions.

FIGS. 3, 4 and 5 illustrate example embodiments of the invention which store microcode instructions in firmware and which use machine specific registers as an interface. However, embodiments of the invention are not limited to storing microcode instructions in firmware. Furthermore, embodiments of the invention are not limited to using registers as an interface for the external microcode. In alternate embodiments, the microcode is stored on any computer readable medium external to the processor and/or the microcode directly manipulates hardware logic on the processor without the use of machine specific registers.

FIG. 6 is a flow chart of an alternate embodiment of a method of using external microcode according to one embodiment of the present invention. As shown in FIG. 6, the method begins by storing programmed code on a computer readable medium external to a processor (block 602). The processor executes the programmed code (block 604). One or more functions of the processor are controlled in response to executing the programmed code (block 606). In one embodiment the one or more functions are controlled (block 606) by directly triggering hardware on the processor in response to executing the programmed code. In another embodiment, the one or more functions are controlled (block 606) by updating one or more registers associated with a logic unit on the processor in response to executing the programmed code. In still another embodiment, the one or more functions are controlled (block 606) by triggering processor hardware logic and by manipulating the plurality of registers.

By using microcode that is stored outside the processor, the cost of implementing microcode is significantly reduced because the code size restriction for the microcode is removed. External microcode according to one embodiment of the invention can also be reprogrammed easily and therefore increases the ease of debugging microcode. The ability to reprogram also makes errata fixes possible, much like a software patch, even after a processor is out in the market. Embodiments of the invention overcome the traditional requirement that microcode is so tightly coupled to the processor logic that the microcode must be placed on the processor die.

Although specific embodiments have been illustrated and described herein, it will be appreciated by those of ordinary skill in the art that any arrangement which is calculated to achieve the same purpose may be substituted for the specific embodiment shown. This application is intended to cover any adaptations or variations of the present invention. Therefore, it is intended that this invention be limited only by the claims and the equivalents thereof.

What is claimed is:

1. A computer system comprising:
  - a bus;
  - a processor; and
  - a computer readable medium external to the processor and coupled to the processor by the bus, the computer readable medium to store instructions to implement microcode functions.
- 10 2. The computer system of claim 1 wherein the computer readable medium is firmware.
3. The computer system of claim 1 wherein the computer readable medium is a mass storage device.
4. The computer system of claim 1 wherein the instructions implement microcode functions by triggering processor hardware logic.
5. The computer system of claim 1 wherein the processor further comprises a plurality of registers associated with one or more functional units of the processor.
- 20 6. The computer system of claim 5 wherein the instructions implement microcode functions by updating one or more of the plurality of registers.
- 25 7. The computer system of claim 5 wherein the instructions implement microcode functions by reading one or more of the plurality of registers.
8. The computer system of claim 5 wherein the instructions implement microcode functions by triggering processor hardware logic and by manipulating the plurality of registers.

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9. A method comprising:  
storing programmed code on a computer readable medium external to a processor;  
executing, by the processor, the programmed code; and  
controlling one or more functions of the processor in response to executing the  
programmed code.

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10. The method of claim 9 wherein the one or more functions are controlled by directly triggering hardware on the processor in response to executing the programmed code.

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11. The method of claim 9 wherein the one or more functions are controlled by updating one or more registers associated with a logic unit on the processor in response to executing the programmed code.

12. The method of claim 9 wherein the one or more functions are controlled by triggering processor hardware logic and by manipulating the plurality of registers.

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13. The method of claim 9 wherein the one or more functions are non-performance critical functions.

14. The method of claim 13 wherein the non-performance critical functions are selected from the group consisting of:

cache flushing, cache invalidation, setting processor features, reading processor features, machine check handling, floating point calculations, processor diagnosis, Intel 32 bit architecture handling for backward compatibility, authentication, platform management interrupt, diagnostic functions and debug functions.

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15. A method of using firmware as microcode, the method comprising:  
storing programmed code in firmware external to a processor;  
executing, by the processor, the programmed code;

updating one or more registers associated with a logic unit on the processor in response to the executing of the programmed code; and

controlling one or more functions of the logic unit on the processor based on a value stored in the one or more registers.

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16. The method of claim 15 further comprising controlling one or more functions of a second logic unit on the processor based on a value stored in one of the registers associated with the logic unit.

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17. The method of claim 15 further comprising reprogramming the programmed code in the firmware.

18. A processor comprising:

a plurality of logic units; and

one or more registers associated with each one of the plurality of logic units, the one or more registers to trigger processor hardware logic functions when one of the registers is updated in response to an external microcode instruction.

19. The processor of claim 18 wherein one or more of the registers are associated with two or more of the logic units.

20. An article comprising:

a computer readable medium to store programmed code for use as microcode, the computer readable medium to reside outside of a processor.

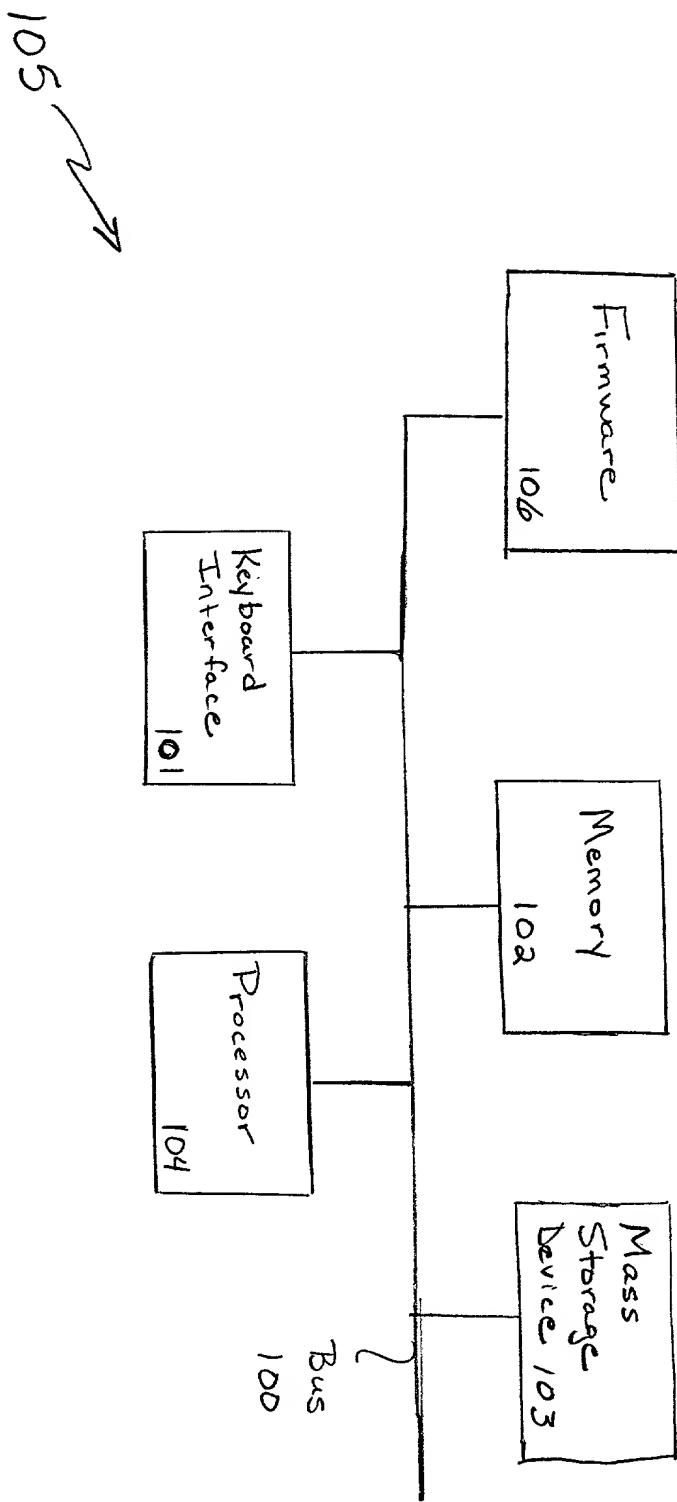
### **Abstract of the Disclosure**

Some embodiments of the invention include a computer system comprising a bus, a processor and a computer readable medium external to the processor. The computer readable medium coupled to the processor by the bus and the computer readable medium to store instructions to implement microcode functions. Some other embodiments of the invention include a method of using firmware as microcode. The method comprises storing programmed code in firmware and executing the programmed code. The method further comprises updating one or more registers associated with a logic unit on the processor in response to the execution of the programmed code and controlling one or more functions of the logic unit on the processor based on a value stored in the register.

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FIG.



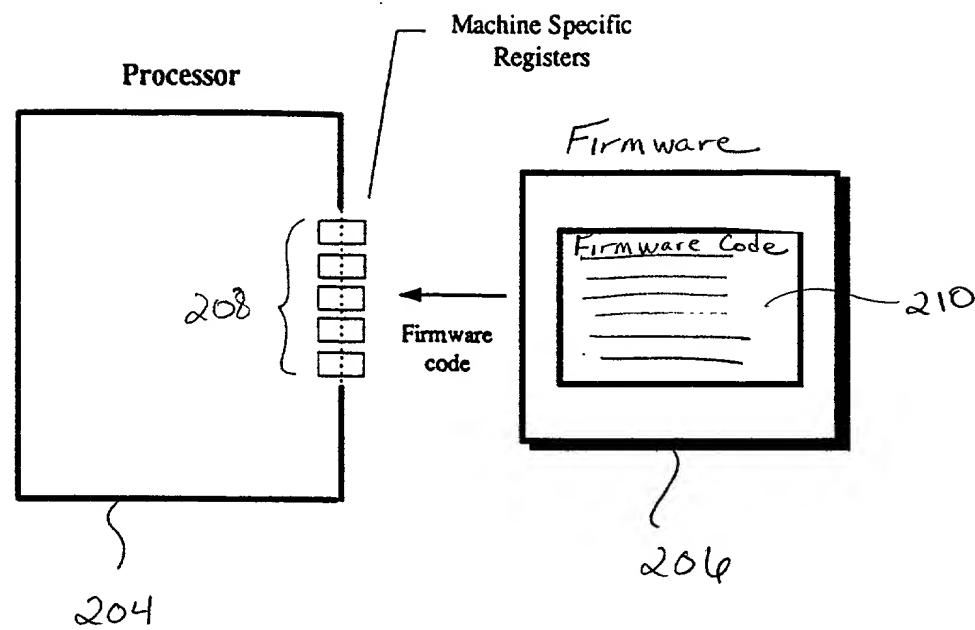


FIG. 2A.

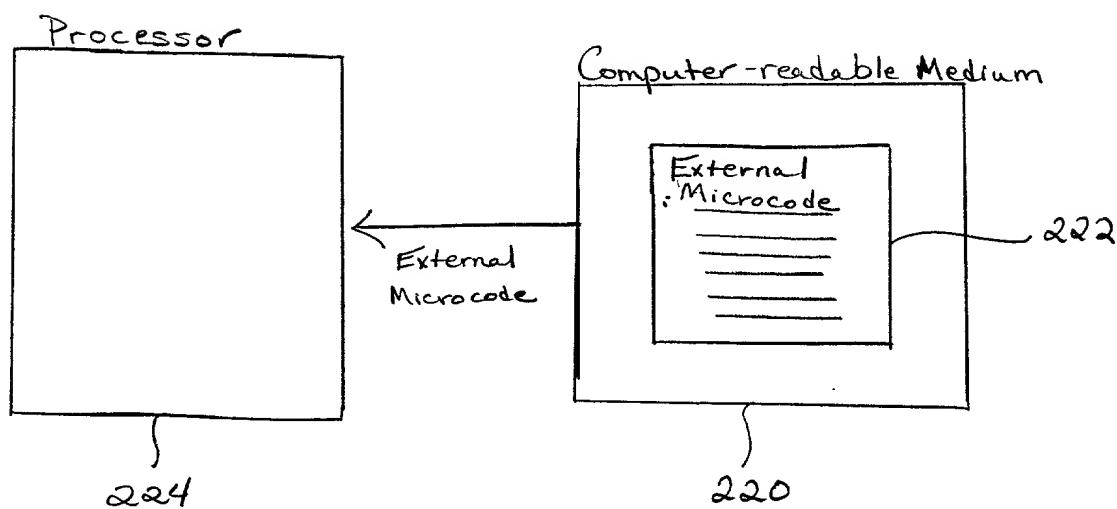


FIG. 2B

FIG. 3

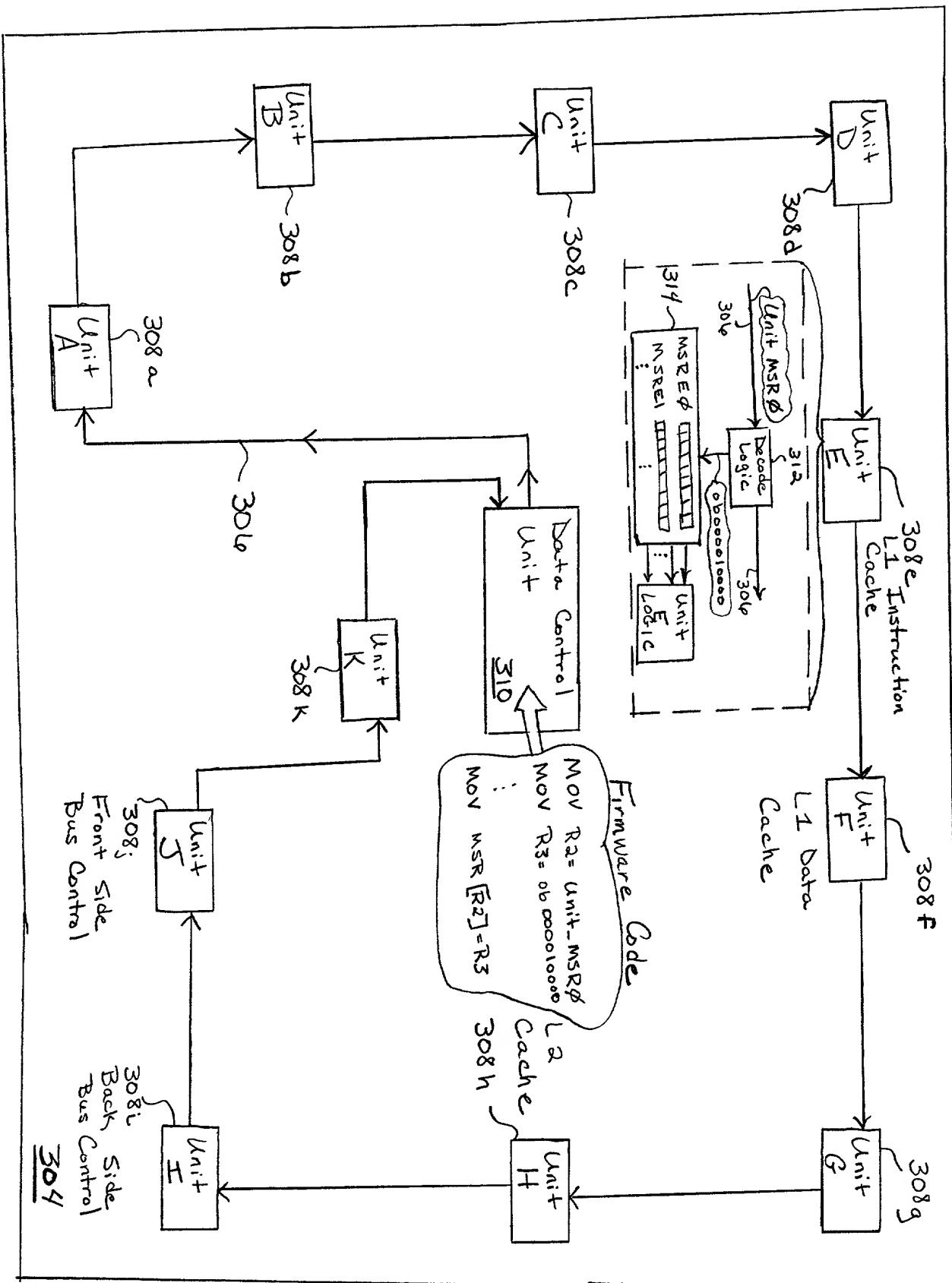
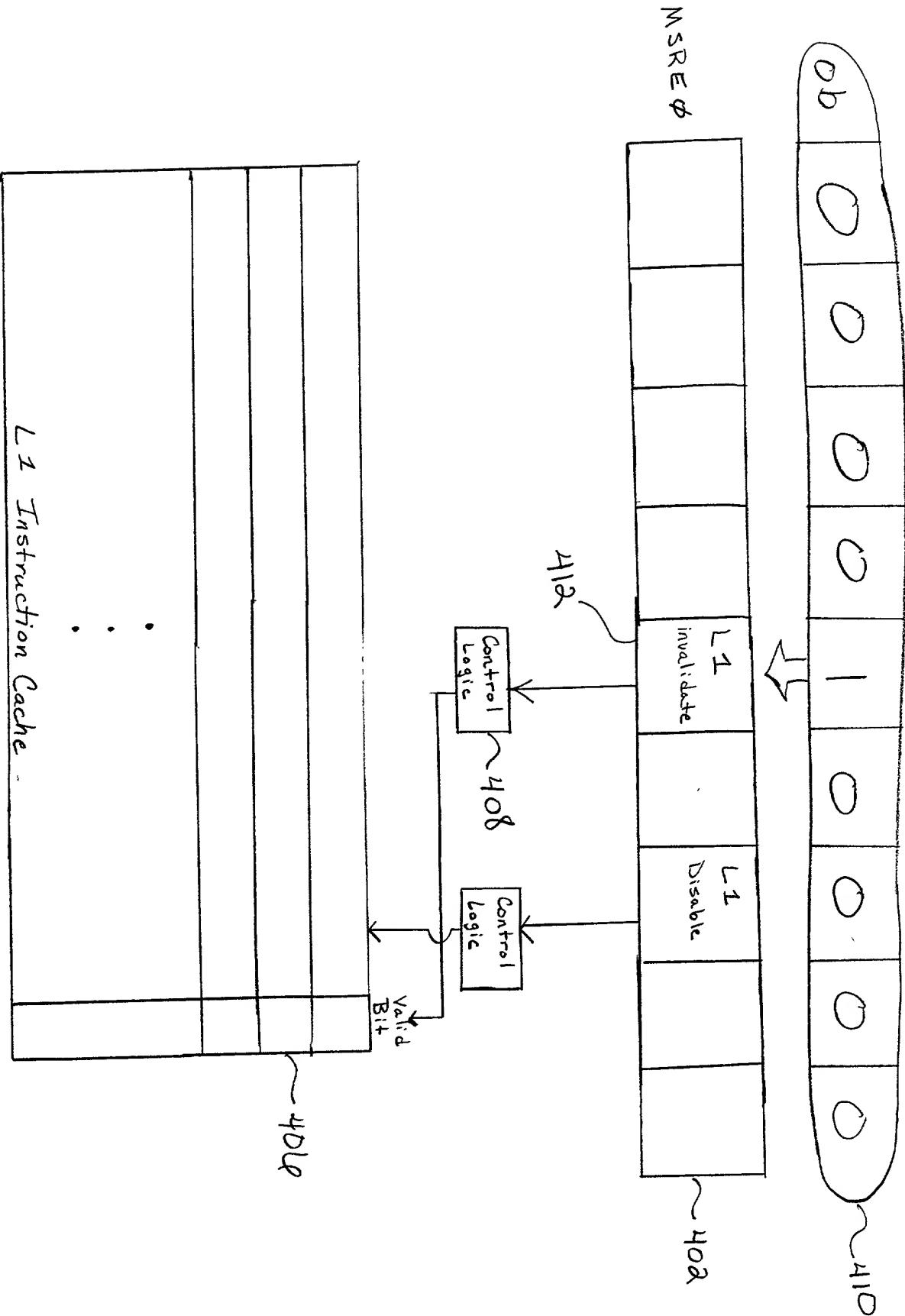


FIG. 4



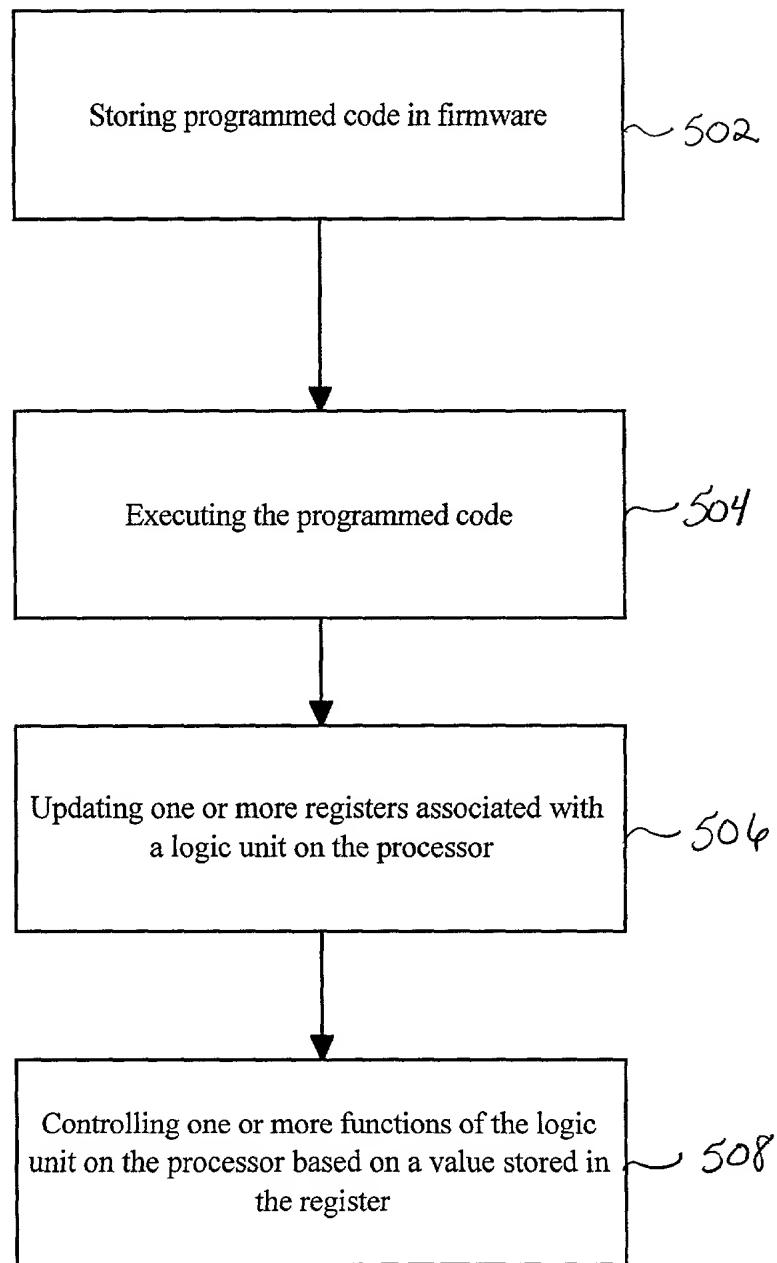


FIG. 5

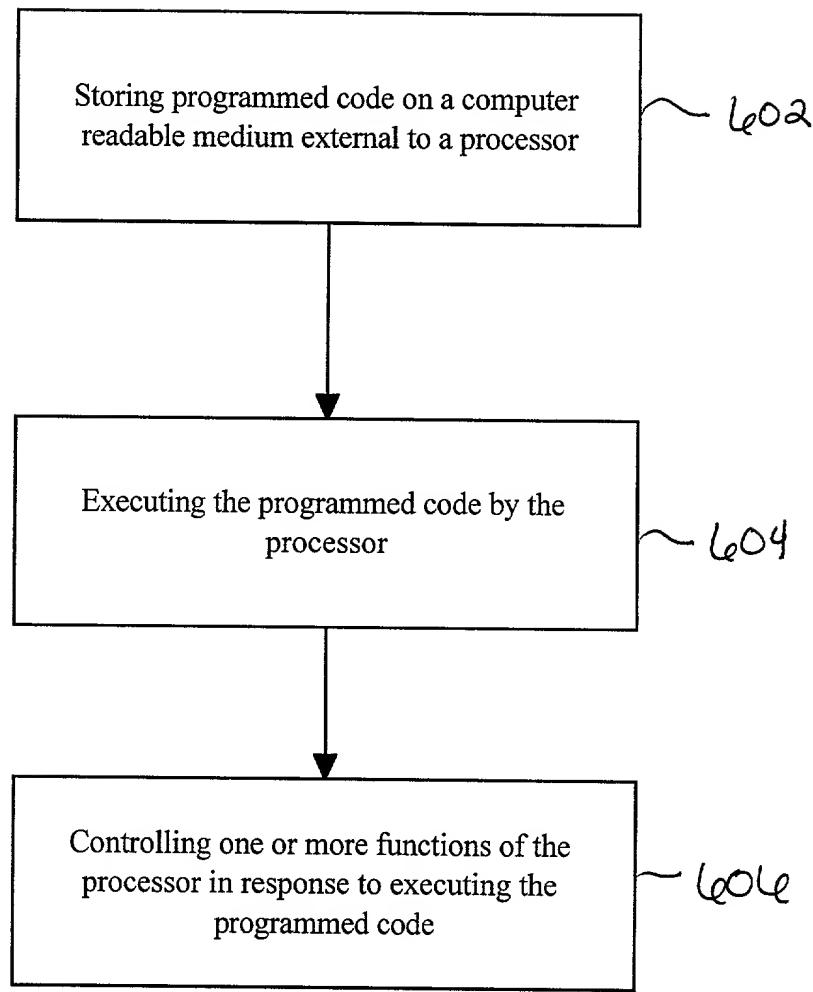


Fig. 6

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.

# United States Patent Application

## COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled: **EXTERNAL MICROCODE**.

The specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 C.F.R. § 1.56 (attached hereto). I also acknowledge my duty to disclose all information known to be material to patentability which became available between a filing date of a prior application and the national or PCT international filing date in the event this is a Continuation-In-Part application in accordance with 37 C.F.R. § 1.63(e).

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on the basis of which priority is claimed:

**No such claim for priority is being made at this time.**

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

**No such claim for priority is being made at this time.**

I hereby claim the benefit under 35 U.S.C. § 120 or 365(c) of any United States and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. § 1.56(a) which became available between the filing date of the prior application and the national or PCT international filing date of this application:

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I hereby appoint the following attorney(s) and/or patent agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith:

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Harris, Robert J.	Reg. No. 37,346	Nelson, Albin J.	Reg. No. 28,650	Woessner, Warren D.	Reg. No. 30,440



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Date: \_\_\_\_\_

§ 1.56 Duty to disclose information material to patentability.

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
- (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

- (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or
- (2) It refutes, or is inconsistent with, a position the applicant takes in:
  - (i) Opposing an argument of unpatentability relied on by the Office, or
  - (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

- (c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:
- (1) Each inventor named in the application;
  - (2) Each attorney or agent who prepares or prosecutes the application; and
  - (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.